



# RECORDS MANAGEMENT

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### Chapter 7

### Storing, Retrieving, and Transferring Records

# Records Storage

- A records retention program relates to
  - Documents to keep
  - Location and environment for storing documents
  - Length of time documents are to be kept
- A records retention schedule contains
  - A comprehensive list of records
  - The length of time records are to be maintained
  - Dates for when records are to be destroyed

# Value of Records

- Records values may be rated as one of four categories
  - Nonessential records are not worth keeping
  - Useful records are kept for short-term storage
  - Important records are kept for long-term storage
  - Vital records are kept for permanent storage
- An inventory of all stored records is needed to prepare a records retention schedule

# Records Inventory

- A records inventory contains
  - Types, locations, dates, and volumes of records
  - Equipment types and locations
  - Types of classification systems
  - Records usage data
- Bar codes and radio frequency identification (RFID) technology can speed the records inventory process
- E-mail and documents from intranets, websites, or social media may be records

# Records Retrieval

- Types of records retrieval
  - Manual
  - Mechanical
  - Electronic
- Effective records control procedures determine
  - Which records are out of storage
  - Who took the records and when
  - How long the records will be out
  - Where the records will be refiled

# Requisition Procedures

- A requisition is a written request for a record or information from a record
- A pick list contains specific records needed for a given program or project
- An on-call form is a written request for a record that is out of the file
- Access to confidential records is often limited

# Charge-Out Procedures

- Establish the current location of a record when it is not in the records center or central file
- Manual procedures
  - OUT indicators
  - OUT indicator disposal
- Automated procedures
  - Bar codes
  - RFID tags

# Follow-Up Procedures

- Factors affecting the length of time users may borrow records
  - Type of business
  - Number of requests received for the records
  - Use of a copying machine to make duplicate records
  - Value of the records
- Generally, confidential records must be returned to storage each night



# Charge-Out Log

- Shows information for records removed from the files
  - The record that was taken
  - When the record was taken (date borrowed)
  - Who took the record (name and extension number)
  - Date due for returning the record
  - Date returned
  - Date overdue notice was sent
  - Extended date due

# Records Transfer

- Records transfer is the act of changing the physical custody of records
- Records disposition is the final destination of records after they have reached the end of their retention period
- Archives store records preserved because of their historical or continuing value

# Transfer Methods

- Perpetual transfer method
  - Records are continually transferred from active to inactive storage whenever they are no longer needed for reference
  - This method should be used for e-mail and other electronic records
- Periodic transfer method
  - Records are transferred at the end of a stated period—one year, for example
  - Also called the *one-period transfer method*

# Transfer Procedures

- Records are transferred either to inactive or archive (permanent) storage
- At the end of the retention period, inactive records are destroyed
- Preparing records involves completing transfer forms and boxing the records
- In an automated system, bar codes make the records transfer process much faster

# Records Center Control Procedures

- Automation in large records centers is extremely important. Automation
  - Improves productivity
  - Helps center employees provide faster service
  - Improves system integrity
  - Helps eliminate many manual tasks
- Records tracking systems can use bar codes or RFID tags to assist retrieval

# Inactive Records Index

- Contains information for all records in the inactive records storage center
  - Dates that records were created
  - Descriptions of the records series
  - Departments that own the records
  - Authorizations for transfer to inactive storage
  - Locations in the records storage center
  - Retention periods
  - Disposition dates

# Charge-Out and Follow-Up File

- A requisition form is used to request records
- OUT indicators mark the location of out files
- A tickler file can be used to track dates
- Reminders that overdue files are due for return
- Electronic follow-up files can provide daily reports on the status of records

## Destruction Date File

- Shows planned destruction dates for records
  - Can be a physical or electronic file
  - Uses dates from the records retention schedule
- A destruction notice is a notification of the scheduled destruction of records
- A destruction suspension is a hold placed on the scheduled records destruction



# Destruction File

- The destruction of records must be witnessed or proof provided by a certificate of destruction
- A destruction file documents the destruction of inactive records
- Electronic destruction files in the records and information management (RIM) software allow for easy entry of essential information regarding records destruction